REQUEST FOR PROPOSAL PS-#1159
District Attorney Case Management System

January 20, 2012

The County of San Luis Obispo (County) is currently soliciting proposals for software, professional services, and training for a new District Attorney Case Management System (DA-CMS).

Each proposal shall specify each and every item as set forth in the attached specifications. Any and all exceptions must be clearly stated in the proposal. Failure to set forth any item in the specifications without taking exception may be grounds for rejection. The County reserves the right to reject any and all proposals and to waive any irregularity or informality in any proposal or in the Request for Proposal process, as long as, in the judgment of the County, such action will not negate fair competition and will permit proper comparative evaluation of the proposals submitted.

This Request for Proposal is posted on the County's Purchasing website at http://www.slocounty.ca.gov/GSA/Purchasing/Current_Formal_Bids_and_Proposals.htm. Any changes, additions, or deletions to this Request for Proposal will be in the form of written addenda issued by the County. Any addenda will be posted on the website. Prospective proposers must check the website for addenda or other relevant new information during the response period. The County is not responsible for the failure of any prospective proposer to receive such addenda. All addenda so issued shall become a part of this Request for Proposal.

If your firm is interested and qualified, please submit three (3) hard copies and one (1) electronic copy (on CD or DVD) of your proposal by 3:00 p.m. February 24, 2012 to:

County of San Luis Obispo
Phill Haley, Purchasing
1087 Santa Rosa Street
San Luis Obispo, CA 93408

If you have any questions about the proposal process, please contact me. For technical questions and information contact Phil Henry at (805) 781-1525.

All questions pertaining to the content of this Request for Proposal must be made in writing via e-mail to the project manager, Phil Henry at: phenry@co.slo.ca.us. All questions will receive a response within 3 business days. The question and its response will be posted (anonymously) on the site http://www.slocounty.ca.gov/IT/dacmsrfp.htm.

The County reserves the right to determine the appropriateness of comments / questions that will be posted on the website.

Phill Haley, Buyer – GSA Purchasing
phaley@co.slo.ca.us

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I. LOCAL VENDOR PREFERENCE

The County has established a local vendor preference. When quality, service, and other relevant factors are equal, responses to Requests for Proposals will be evaluated with a preference for local vendors. Note the following exceptions:

1. Those contracts which State Law or other law or regulation precludes this local preference.
2. Public Works construction projects.

A "local" vendor preference will be approved as such when, 1) The vendor conducts business in a fully staffed office with a physical address within the County of San Luis Obispo; 2) The vendor holds a valid business license issued by the County or a city within the County; and 3) The vendor has conducted business at the local address for not less than six (6) months prior to the due date of this Request for Proposal.

Proposals received in response to this Request for Proposal will be evaluated by the Selection Committee considering the local vendor preference described above when quality, service and other relevant factors are equal. The burden of proof will lie with proposers relative to verification of "local" vendor preference. Should any questions arise, please contact a buyer at (805) 781-5200.

	YES	NO
Do you claim local vendor preference?		
Do you conduct business in an office with a physical location within the County of San Luis Obispo?		
Business Address:		
Years at this Address:		
Does your business hold a valid business license issued by the County or a City within the County?		
Name of Local Agency which issued license: _____		

Business Name: _____

Authorized Individual: _____ Title: _____

Signature:_____ Dated:_____

II.   PROPOSAL SUBMITTAL AND SELECTION

1. All proposals, consisting of three (3) hard copies and one (1) electronic copy (on CD or DVD) must be received by mail, recognized carrier, or hand delivered no later than 3:00 p.m. PDT on February 24, 2012. <u>Late proposals will not be considered and will be returned unopened.</u>

2. All correspondence should be directed to:

    > San Luis Obispo County
    > General Services Agency
    > 1087 Santa Rosa Street
    > San Luis Obispo, CA 93408
    > ATTENTION: Phill Haley
    > Telephone: (805) 781-5904

3. All costs incurred in the preparation and submission of proposals and related documentation will be borne by the proposer.

4. It is preferred that all proposals be submitted on recycled paper, printed on two sides. An electronic copy of your proposal must be included. The electronic copy <u>must include</u> the identical attachments and ancillary information as submitted with the written copies and be combined into one Adobe Acrobat (pdf) file on a CD, using this convention for the file name: FIRM NAME + RFP NUMBER

    > *Example:* Your firm, Acme Inc., is responding to RFP PS-#1159.   Your Adobe Acrobat (pdf) file would be named: **Acme 1159**.

5. Selection of qualified proposers will be by an impartial Selection Committee using an approved County procedure for awarding professional contracts. Selection will be made on the basis of the proposals as submitted, although the County reserves the right to interview applicants as part of the selection process. The proceedings of the Selection Committee are confidential, and members of the Selection Committee are not to be contacted by the proposers.

    The Selection Committee will consider a number of criteria to reach a decision. Evaluation criteria may include, but is not necessarily limited to the following (not listed in order of importance):

    a. Local Vendor Preference (Section III).

    b. Demonstrating the ability to meet the case management system requirements as outlined in Appendix-A, Case Management System Requirements.

    c. Overall completeness, clarity of content, responsiveness, quality, attention to detail, and general understanding of RFP requirements, including following the instructions detailed in Section III, Proposal Format.

d. References from clients that confirm your system's capability to meet the needs of other District Attorney offices in the State of California and a demonstration of successful completion of similar implementation projects in medium to large-sized California counties.

e. References from clients that demonstrate completion of successful projects similar to that described in this RFP.

f. Team skills, including project management, district attorney business processes, technical, data conversion, training, and successful history of on-going technical support.

g. Value offered in the proposal including overall cost.

h. Company background.

i. Vendor demonstrations (shortlisted finalists only).

j. Any other criteria the County deems to be appropriate.

6. This Request for Proposal does not constitute an offer of employment or contract for services.

7. The County reserves the option to accept or reject any or all proposals, wholly or in part, received by reason of this request, and to make more than one award, or no award, as the best interests of the County may appear.

8. All documents submitted to the County in response to this Request for Proposal will become the exclusive property of the County and may be returned to the proposer or kept by the County, in the County's sole discretion.

9. All proposals shall remain firm for one hundred eighty (180) days following closing date for receipt of proposals.

10. The County reserves the right to award the contract to the firm who presents the proposal which in the judgment of the County, best accomplishes the desired results, and shall include, but not be limited to, a consideration of the professional service fee.

11. Any contract awarded pursuant to this Request for Proposal will incorporate the requirements and specifications contained in this Request for Proposal. All information presented in a proposer's proposal will be considered binding upon selection of the successful proposer, unless otherwise modified and agreed to by the County during subsequent negotiations.

12. The successful proposer is expected to execute a contract similar to the sample contract in *Appendix – B Sample Contract*. This sample contract is for reference to the anticipated terms and conditions governing the County and the successful proposer. **The proposer must take exception in their proposal to any section of the**

attached contract they do not agree with. Failing to do so will be deemed as acceptance by the proposer to the terms spelled out in the sample contract. The County reserves the right, in its sole discretion, to add, delete, or modify, or negotiate additional terms and conditions to the attached contract. BEFORE BEGINNING ANY WORK OR SUBMITTING A PROPOSAL IT IS ADVISED THAT PROPOSERS READ THE COUNTY INSURANCE AND INDEMNIFICATION REQUIREMENTS IN THE ATTACHED SAMPLE CONTRACT. The selected proposer will be asked to provide evidence that County insurance requirements have been met. See *Appendix – B Sample Contract*, for the insurance requirements.

13. Under the provisions of the California Public Records Act (the "Act"), Government Code section 6252 et seq., all "public records" (as defined in the Act) of a local agency, such as the County, must be available for inspection and copying upon the request of any person. Under the Act, the County may be obligated to provide a copy of any and all responses to this Request for Proposal, if such requests are made after the contract is awarded. One exception to this required disclosure is information which fits within the definition of a confidential trade secret [Government Code section 6254(k)] or contains other technical, financial or other data whose public disclosure could cause injury to the proposer's competitive position. If any proposer believes that information contained in its response to this Request for Proposal should be protected from disclosure, the proposer MUST specifically identify the pages of the response that contains the information by properly marking the applicable pages and inserting the following notice in the front of its response:

> ***NOTICE:*** *The data on pages _ of this response identified by an asterisk (*) contain technical or financial information, which are trade secrets, or information for which disclosure would result in substantial injury to the proposer's competitive position. Proposer requests that such data be used only for the evaluation of the response, but understands that the disclosure will be limited to the extent the County considers proper under the law. If an agreement is entered into with the proposer, the County shall have the right to use or disclose the data as provided in the agreement, unless otherwise obligated by law.*

The County will not honor any attempt by proposer to designate its entire proposal as proprietary. If there is any dispute, lawsuit, claim or demand as to whether information within the response to the Request for Proposal is protected from disclosure under the Act, proposer shall indemnify, defend, and hold harmless, the County arising out of such dispute, lawsuit, claim or demand.

14. Tentative Schedule of Events

The following timetable is provided to assist proposers. The County reserves the right to modify, in its sole discretion, the RFP schedule below:

Table 1 – Tentative Schedule of Events

Date	Event
January 20, 2012	RFP Release Date
February 2, 2012	Pre-proposal conference call 10 – 11 a.m. PDT
February 8, 2012	Deadline for written questions
February 24, 2012	Proposals Due (3:00 p.m. PDT)
March 9, 2012	Preliminary Screening Process Complete including reference checks
March 19, 20, & 21, 2012	Proposer Presentations
March 29, 2012	Screening Process Complete, Finalist Selected
April 2012	Contract Negotiations & Preparation
May 22, 2012	Board of Supervisors Contract Approval

Note: Proposer presentations are an integral part of the selection process and proposers must be prepared in advance to present, orally and in person, on at least one of the dates indicated in the table above. Proposers that cannot demonstrate during the dates prescribed by the County may be eliminated at the discretion of the County and other participants advanced. Notwithstanding, the County reserves the right, in its sole discretion, to forego the presentation portion of the selection process.

15. Pre-proposal Phone Conference

A pre-proposal phone conference will be held at 10:00 a.m. PDT on February 2, 2012. Participation in the pre-proposal phone conference is not required, but is strongly encouraged. Proposers may participate by calling toll free **1+800-867-2581**. When prompted, dial the 7 digit access code: **4238111#** *(pound sign)*. You will hear music until the leader joins the conference call, at which time you will be asked to state your name and the company that you are representing and you will then be placed in the conference call.

The purpose of this conference is to provide participating firms the opportunity to ask questions related to the RFP. The County's project team will facilitate an informal discussion to assist participating firms in assessing the needs of the County, as well as to provide insight into the County's project scope. The County will also use this time to provide participating firms with any additional information relevant to the RFP. It is the proposer's responsibility to become familiar with all information necessary to prepare a proposal.

The pre-proposal phone conference may be recorded. The County will document questions and answers from the conference which will be posted on the County's web site within five business days following the pre-proposal phone conference at: http://www.slocounty.ca.gov/IT/dacmsrfp.htm.

16. Written Questions and Addendum

Proposers may submit additional written questions as to the intent or clarity of this RFP until February 8, 2012 at 3:00 p.m. PDT as indicated in *Table 1 – Tentative Schedule of Events*. All written questions must be submitted to the County Project Manager (See page 1 of this RFP for the email address) by e-mail with the questions contained in the body of the email or in an attached Microsoft Word document format. The County Project Manager will not respond to questions submitted in any other manner or format. The project team will attempt to post written responses within 3 working days of submission but reserves the right not to respond to queries at its sole discretion.

Written responses to written questions and any RFP amendments will be listed in an Addendum which will be posted at the following URL:

http://www.slocounty.ca.gov/IT/dacmsrfp.htm.

The County reserves the right to post addenda until the RFP closing date and time. It is the responsibility of proposers to check for additional updates and addenda.

17. Oral Presentation and Demonstrations

Proposers agree to present their proposed solution, orally and in person, if required by the County. In addition, proposers agree to provide the County the opportunity to interview the proposed account representative and staff members identified by the proposer in their proposal. The proposers account representative is expected to conduct the session. *Shortlisted vendors must be prepared to present on any of the days shown in Table-1 above. Failure to comply with this requirement could result in the proposer not being selected.*

For the presentation sessions, proposers shall be required to demonstrate a designated portion of their solutions, including selected services and related equipment and software to County employees and management not directly involved in the formal evaluation process.

III.   PROPOSAL FORMAT

A qualifying proposal must address all of the following points and shall be in the format outlined in this section:

1. Project Title

2. Applicant or Firm Name

3. Offer Letter

Proposers must include a letter signed by a representative authorized to commit the proposing entity in contractual matters which includes:

a.   Project Name

b.   Applicant or Firm Name

c.   A statement that your company meets the "Must Have" requirements outlined in the attached Appendices A-1 through A-10.

d.   The offer letter must contain the following statement, "Proposer expressly acknowledges that we have read the indemnification and insurance provisions in the Sample Contract in *Appendix – B Sample Contract*, and will comply with all terms and conditions as written."

e.   The offer letter must include an exception to any section of the attached contract the proposer does not agree with. Failing to do so will be deemed as acceptance by the proposer to the terms spelled out in the sample contract.

4. Firm Qualifications

a.   Type of organization, size, professional registration and affiliations.

b.   Is your company a California corporation? If you are a non-California corporation, is your company registered with the California Secretary of State to transact business in California?

c.   Does your company have a California street address and telephone number for purposes of Service of Process? If so, please provide the name, street address, and telephone number.

d.   Names and qualifications of personnel to be assigned to this project.

e.   Outline of recent projects completed that are directly related to this project. Consultant is required to demonstrate specific design and project expertise relating to the requirements set out in this RFP.

f.   Qualifications of consultants, subcontractors, or joint venture firm, if appropriate.

g.   Customer references from recent related projects, including name, address and phone number of individual to contact for referral.

5. Understanding of and Approach to the Project

a.   Provide details of approach to be taken to meet the requirements of this project. Refer to the information provided in *Section IV Project Scope* below.

b.   Attach a completed copy of the Microsoft Word tables provided in the attached requirements *Appendices A-1 through a-10*.

    c.   Provide details on the type of equipment (if any) that will be used to deliver these services to the County, and if any equipment or facilities are needed by your company to deliver these services.

    d.   Describe the organization and staffing to be used for the project.

    e.   Provide details of information and participation you will require from County staff.

    f.   Indication of time frame necessary to complete the plan review once a Notice of Award is issued.

6. <u>References</u>

Provide at least five (5) customer references that are currently using a comprehensive, integrated and complete installation of your case management solution. Include the name, address, e-mail address and phone number of the individual to contact for referral. At least two (2) of your references should be from medium to large sized county customers (population 250,000 or larger) within the State of California. Please include a brief description of the services you have provided and the duration of your service delivery.

7. <u>Cost Proposal</u>

Each proposal must be submitted with a completed cost proposal showing project costs as detailed in this section. Proposed project costs must be quoted in accordance to the format in *Appendix – C Cost Proposal.* Proposers are cautioned against providing a single price without adequate detail. The County requires all costs to be broken down in detail. Each of the individual cost components must be included as line items in the cost table. To assist with clarity, proposers may add additional rows to the table in Appendix C.

    a.   Cost proposals shall be broken down by category and shall include all costs to the County for Proposer Software, Third-Party Software, Software Licensing, and Professional Services.

    b.   Cost proposals will include hardware (if applicable) and software that is part of the proposer's solution (Proposer Software), such as the case management application. Additionally, cost proposals will include the costs for required Third-Party Software (if any is required), e.g. optical character recognition software, PDF creation software, etc.

    c.   Cost proposals will include the total cost of software licenses (including both Proposer Software and Third-Party Software). All software license fees and support and maintenance costs must be proposed as a fixed price.

    d.   Cost proposals will include the cost of professional services required to implement the proposed solution. These costs may include, but are not limited to: project management, system customization and configuration, system training and documentation.

e. Cost proposals must include any required system customization(s) and these customizations must be separately identified as a line item in the Services section of the cost proposal. Services must be presented as "Not to Exceed Time and Materials" amounts.

f. Cost proposals must include costs for training and must comply with and provide all information requested in S*ection IV - Training*.

g. Cost proposals must include the costs for documentation. Cost proposals must comply with and provide all information requested in *Section IV – Documentation*.

h. Proposers are encouraged to provide explanations where needed for clarification. If a cost is based on an assumption made by the Proposer, please explain each assumption in your pricing section.

i. The cost proposal must include all labor, travel, lodging, meals, car rental, and any other expense costs for employees travelling to site in order to fulfill the requirements of this RFP. For your convenience, *Appendix-D* contains the County's current travel reimbursement rates for 2012.

8. Proposed Project Schedule

Proposers are required to submit a proposed project schedule with their responses. The project schedule shall include an indicative timeline for achieving all the tasks outlined in the draft Statement of Work in *Section IV* below along with all other work proposers believe necessary to fully achieve the project objectives as outlined in this RFP. Proposers are required to state any assumptions used when creating the proposed project schedule such as county personnel, other resource requirements, etc.

9. Additional Comments (Optional)

Provide any other materials, suggestions, and comments you deem appropriate, if any.

10. Fees and Insurance

a. Proposers shall provide a summary total of fixed fees to complete project as described under Project Scope, and according to the schedule as shown *Appendix – C Cost Proposal*

b. The selected proposer will be required to provide insurance coverage as stated in *Appendix – B Sample Contract*. This amount of insurance coverage shall be reflected in your estimated professional fee.

    c.   The proposer shall provide, within five (5) days after the Notice of Award is issued, a certificate of liability insurance naming the County of San Luis Obispo and its employees and officers as additionally named insured. This shall be maintained in full force and effect for the duration of the contract and must be in an amount and format satisfactory to the County.

IV. PROJECT SCOPE

1. General Information

The County of San Luis Obispo, District Attorney's Office is soliciting responses to this RFP for software and services needed to implement an Integrated Criminal Justice DA Case Management System (DA-CMS).

The County desires to select a District Attorney Case Management System product and vendor, install, configure, test, train users, and go-live with the system January 2013.

The selected vendor will supply and implement a product which, at a minimum, fulfills all **high priority** requirements as identified in the attached requirements *Appendices – A-1 through A-10* of this RFP. At a minimum, the vendor will perform all tasks outlined in the draft Statement of Work and supply all related deliverable items as outlined in this RFP.

The final contract will be subject to approval by the County Board of Supervisors

A. Project Background

The County of San Luis Obispo currently uses several integrated applications to support District Attorney business operations. The applications are mainframe-based or PC based and include the District Attorney County Integrated Case Management system (LD), the Document Processor (Doc Proc or LE) used to create various DA documents, the Bad Check system (JB) used by the Economic Crimes Unit, and the Victim/Witness Tracking system (LV) used to support the Victim Witness program. The Laserfiche application is used to store and manage electronically submitted reports from the local law enforcement agencies.

These applications were written in-house by General Services Agency - Information Technology (GSA-IT) software engineering staff and some date back to the early 1990s. The Victim/Witness Tracking system (LV) was developed in 2000. All of the applications are still supported by GSA-IT staff. The only vendor system is Laserfiche, used for document management.

Some of the issues and problems with the current applications are listed below:

- Many of the current District Attorney applications were first developed over 20 years ago. Some of the District Attorney applications use obsolete "green screen" dumb terminal technology that lacks modern graphical user interfaces and prevents the use of mice,

viewing scanned or digitized documents, etc. Older desktop applications are increasingly difficult to maintain on current desktop operating systems.

- One of the major goals of the County-wide IT Strategic Plan is to transfer all applications and data away from the IBM mainframe computer on to modern hardware and software platforms. The criminal justice applications and data are one of the major remaining mainframe systems which must be removed to allow decommissioning and retirement of the mainframe platform.

- The current applications lack functionality to track the status of operational activities, including case and defendant information management, mandated reporting requirements, statistical information collection, discovery tracking and viewing of DA investigative activities.

- The current tools used to request, duplicate, track, distribute, store and bill attorneys for discovery are resource and labor intensive. Paralegal staff currently lacks the ability to digitize documents, photos and videos efficiently and accomplish each of the discovery steps set forth above in a paperless environment.

- The mainframe applications do not support any word processing functions/capabilities with regards to producing motions, appeals, jury instructions, correspondence, memos, forms and the ability to incorporate or download those and similar documents into an electronic or digital case file (i.e. a paperless file).

- Updating, enhancing and adding new functionality in support of DA operations is limited due to the constraints of a mainframe based application. The ability to copy and paste, drag and drop is limited, as well as graphical and visual benefits provided by modern applications.

Modernization of other law and justice applications has already taken place – notably the Sheriff's Jail Management and Records Management Systems, the Probation Case Management System and the Criminal Justice Information System (CJIS) Portal. Work is also underway to identify candidate replacements for the Probation Collection Accounting System (LQ) and Sheriff's Warrants System. Finally, there is a project, currently on hold, for the San Luis Obispo County's Superior Court to implement the new California State Court Case Management System (CCMS).

The County's information technology governance body, the IT Executive Steering Committee (IT-ESC), has approved a project to proceed with a Request for Proposal process to begin seeking a suitable District Attorney Case Management System and vendor. Subsequently a project manager and project team was identified, and the project was formally initiated on November 17, 2011.

B. Project Goals

Note: At its sole discretion, the County reserves the right to modify the steps, timing, or scope of work at any time during this RFP process.

As a result of this RFP project the County will have a contract for a product that meets the following primary objectives:

- The various existing District Attorney applications will be replaced with a single, secure, integrated commercial off-the-shelf (COTS) application that meets the DA's requirements to manage case information as set forth in the requirements appendices

- The current District Attorney applications and data will be removed from the mainframe computer and other platforms.

- All legacy data will be preserved and migrated to the new system.

- Replacement and expanded functionality will be provided for Case Management, Document Processing, Bad Check Processing/Tracking, Victim/Witness Tracking (including tracking and confirming subpoenas), case discovery activities, and case management and statistical reporting.

- All of the above major operational functions will be automated and integrated. A key requirement is to maintain current integration with criminal justice partners and the Superior Court. San Luis Obispo County also wishes to expand the integration with justice partners to gain additional efficiencies.

- Staff will be able to perform word processing functions using data from the system to support document creation and editing for producing filing documents, motions, appeals, jury instructions, correspondence, memos, forms, and similar documents which can be incorporated with a case or downloaded into an electronic or digital paperless file.

- The system will interface with other Criminal Justice agencies.(including San Luis Obispo County Justice partners, the Superior Court and other law enforcement agencies in the jurisdiction) to maintain efficiencies. The data sharing and integration with the Superior Court may include the new system adopted by the Administrative Office of the Courts for the State of California (currently known as CCMS V4).

- DA staff and management will have the ability to track the status of operational activities, including case and defendant information management, meet mandated reporting requirements, collect statistical information, perform discovery tracking, and review and track DA investigative activities.

- Improve efficiency and record keeping in support of DA operational activities.

- Maintain and track any electronic document associated with a DA case.

C. The County of San Luis Obispo

Of the current 58 California counties, San Luis Obispo County is one of only 11 original counties established in 1850. San Luis Obispo County has 22 departments and

approximately 2,400 employees. Additional information about the County can be accessed via the Web at: http://www.slocounty.ca.gov/.

> **County of San Luis Obispo Mission Statement**
> *The County's elected representatives and employees are committed to serve the community with pride and to enhance the economic, environmental, and social quality of life in San Luis Obispo County.*

D. The Office of the District Attorney

The District Attorney has the mandated responsibility, under the California Constitution and Government Code section 26500, to investigate, evaluate and prosecute criminal violations committed within the county, to provide legal assistance to criminal investigations conducted by law enforcement agencies operating within the county, and to advise the Grand Jury.

The Office of the District Attorney consists of approximately 94 employees. These include approximately 33 Deputy District Attorneys and 14 investigators responsible for prosecuting felonies, misdemeanors, and juvenile and certain civil cases and, where necessary, performing criminal investigations. Other staff includes legal clerks, paralegals, administrative assistants and account clerks who provide support for all District Attorney operations. The office prosecutes approximately 17,000 criminal cases, 750 juvenile cases and 550 quasi civil mental health cases annually.

Major units with the Office of the District Attorney include Sexual Assault / Domestic Violence / Child Abuse Unit, District Attorney Investigators, Drug Enforcement Unit, Narcotics Support, Gang Prosecution Unit, Consumer Protection/Economic Crime Unit, Elder Abuse and Automobile Insurance Fraud Unit, and the Juvenile Division.

E. County Information Technology Environment

County desktop and portable hardware is standardized on HP and Dell products. The County is currently using Windows XP, Windows Vista, and Windows 7 for its desktop operating systems.

The standard productivity suite is Microsoft Office, with versions 2003, 2007, and 2010 in use. Files are shared in version 2003 compatible formats.

File and print services are provided by Microsoft file servers. Directory services are provided by Microsoft Active Directory.

Most departments use Windows Server 2003 or later and/or Linux to host their business applications. Microsoft SQL Server 2008 is the primary supported enterprise-level database.

Several hundred virtual servers run on VMware ESX hosts on IBM BladeCenter hardware. Networking is provided over County-owned fiber optic and leased data circuits that are supported through the centralized General Services Agency - Information Technology (GSA-IT) network group. GSA-IT provides services to approximately 120 remote locations throughout the County. The GSA-IT network group supports channelized DS3, Point-to-Point,

and Ethernet technologies. County-owned fiber is available geographically throughout the County which provides for gigabit connectivity to most workstations. Leased-line services are provided by local telecom contractors although the need for these services has been decreasing due to an increase in fiber availability.

Internet connectivity is provided via two local telecom contractors. Each Internet connection is at least 20Mbps. The County has redundant firewalls and provides for multiple restricted demilitarized zones (DMZs) to protect Internet facing servers and the secure County network. Lotus Domino/Notes is the County standard e-mail and enterprise collaboration tool.

GSA-IT operates a County-wide Service Desk that is available 7:30 AM until 5:00 PM, Monday through Friday, to assist users with problems. Technical Support is also available after hours or on the weekend for certain critical applications, on an on-call basis.

The County supports a variety of enterprise and departmental applications. Most departments use applications that are:

1. Commercial Off-The-Shelf (COTS) Applications – applications supported by GSA-IT and/or distributed technical staff within County departments.

2. Custom Applications - Custom developed and supported by the County department and/or GSA-IT.

3. Custom Browser Based Applications – Custom developed and supported by the County department and/or GSA-IT.

The Office of the District Attorney currently uses several applications to track and manage the prosecution of criminal cases. They are defined as follows:

LD – The District Attorney Case Management System (DA-CMS) is a custom-developed mainframe CICS application using primarily DB2 tables with a few VSAM control files. The LD system is tightly integrated with the Superior Court's mainframe Case Management System (LS). There are also interfaces to the Sheriff's and Probation's case management systems.

Doc Proc – The District Attorney Document Processor is a custom-developed desktop application utilizing Microsoft Word to generate documents and an interface to the DA-CMS (LD) to generate documents based on case data. The data is stored in SQL Server and MS Access tables.

LV – The Victim/Witness Tracking system (VTS) is a custom-developed n-tiered desktop application using SQL Server. The Victim/Witness Tracking system interfaces to the DA-CMS (LD) and the Superior Court's mainframe CMS (LS).

JB – The Bad Check system is a custom-developed mainframe CICS application using VSAM files. The Bad Check system supports an interface to the DA-CMS (LD), Superior Court (LS), Probation Case Management systems and to the SAP financial application.

CJIS Portal – The Criminal Justice Information System portal provides the ability to view criminal justice cases created by the local justice partners (Sheriff's Office, Office of the District Attorney, Superior Court and Probation department). The CJIS portal also provides and maintains a master name index of all persons arrested, prosecuted or on active probation in San Luis Obispo County. The goal of the CJIS portal is to provide a common application for all local justice partners and local law enforcement to search, identify persons and view all case history for an individual. The CJIS portal is a web-based application with data stored in SQL Server (2008 R2). The CJIS portal utilizes federated queries and web services to obtain case data from the various department case management systems. (To obtain data from the legacy mainframe applications, a data adaptor known as ViaServ is utilized.)

CJIS hub – The Criminal Justice Information System middleware (or hub) supports the sharing and processing of data exchanges for the disparate justice applications. The CJIS hub is a Microsoft BizTalk (version 2010) installation utilizing SQL Server (2008 R2) and ViaServ (for a data adaptor).

Laserfiche – The Laserfiche application is a server based application providing electronic document imaging and management. Laserfische utilizes a SQL server database. The Laserfiche application contains a workflow feature currently used by the local law enforcement agencies to submit in-custody requests for complaints to the District Attorney's Office.

2. DA-Case Management System Statement of Work (SOW) – draft

This section describes the major tasks the County *requires the vendor to perform*. These details, including identifying project deliverables, will be finalized during the contract negotiation phase with the successful bidding vendor.

NOTE: The draft SOW is supplied to assist proposers in planning and quoting their proposals. The tasks are not necessarily all inclusive and are likely to vary depending upon each proposer's solution and project approach. Proposers must take into consideration both the tasks outlined in the draft SOW *along with all other work* the proposer identifies as being required for the success of the project.

A. Project Management

The County requires the vendor to assign a dedicated project manager to the project. The proposer's project manager will act as liaison and a single point of contact with the County project manager and the respective project teams.

The vendor's project manager will actively participate in and contribute to the following project activities:

1. Finalize project Scope and Statement of Work

2. Create and maintain the project plan and schedule

3. Report project progress

4. Manage project risks and issues

5. Manage the vendor's project team and vendor's task execution

B. Installation

At a minimum, the County requires the vendor to perform the following tasks during the project execution stage. All tasks will be performed under the control and direction of County Information Technology personnel.

1. Assist in configuring the CMS (virtual) server(s) and operating system software.

2. Assist in configuring the CMS storage arrays.

3. Assist in configuring the CMS network parameters.

4. Install and configure CMS application software and databases.

5. Assist in configuring the CMS backup and recovery functionality.

6. Assist in integrating the CMS with the Microsoft Active Directory.

7. Assist in integrating the CMS with Lotus Domino/Notes database.

8. Identify user roles and permissions and perform baseline configuration of system users, groups, accounts, and licensing, system administrative tools, etc.

C. Develop and Configure System Business Rules and Reporting

At a minimum, the County requires the proposer to perform the following tasks during the project execution stage:

1. Facilitate changes and improvements to County business processes to capitalize on system functionality and streamline processes.

2. Configure system business rules, system codes and workflow.

3. Configure system data fields and other parameters to match the names and conventions used in the Office of the District Attorney.

4. Assist DA clerical and administrative personnel in creating master document templates for all DA business process areas.

5. Create master calendar templates to support case management workflow, deadlines, timelines, Court events, etc.

6. Configure system workflow notification, e.g., system messages and Lotus Notes e-mail groups, e-mail templates, etc.

7. Assist and train system administrators to maintain user access/security and maintaining system codes and descriptions.

8. Configure and implement reporting requirements

9. Train appropriate staff in utilizing any custom ad hoc reporting tools. If standard ad hoc utilities are used, provide necessary database relationship/hierarchy training so skilled County staff can develop ad hoc reports as needed.

D. Data Conversion and Interfaces

The following is an outline of the work required to perform data migration and to build XML data exchanges to interface between the vendor's CMS system and the various County law and justice system applications. In particular, vendors are required to do the work for data conversion and building the XML interfaces between their system and the San Luis Obispo County Criminal Justice Information System Enterprise Service Bus (also known as the CJIS hub). See Sections 1-4 and 1-5 in _Appendix-A General System Requirements_ for details on Interfaces and Data Conversion.

NOTE: The project sponsor (District Attorney) has stated a major goal of the project is to achieve full data integration between the vendor's CMS components and the other law and justice applications. (See Appendix A-11 for a list of required interfaces).**_Therefore the following tasks, in particular, are critical success factors for project completion._**

1. The vendor and the County will jointly identify data types and map data fields between the vendor CMS and the various County systems.

2. The vendor will develop an automated data and repeatable (for quality purposes) conversion method to convert the data from the existing County District Attorney applications and import data into the corresponding vendor CMS database. The vendor will repeat this task until the data has been correctly converted into the new DA-CMS.

3. The County prefers the data conversion is tested and validated before general user training is started. Having a sample of converted data in the new system will improve user training and produce better results.

4. The vendor will build (for DA published exchanges), test and implement the XML data exchanges between the vendor's CMS and the CJIS hub. The vendor is expected to publish an approved Information Exchange Package Document (IEPD) for all DA published exchanges. San Luis Obispo County will publish IEPD's for County published exchanges.

5. Upon completion of each iteration of the data conversion the vendor will run the initial tests and when the vendor has verified correct data conversation, the county will validate the results prior to approval.

6. The vendor will complete successful testing of the interfaces first before asking the County to test them. The vendor will provide the test results to the County. The County will then test and verify the interface results to validate the configuration of the production system prior to system acceptance testing.

E. System, Integration and Acceptance Testing

During the contract negotiation period, the County and successful vendor will refine and agree on the following tasks as appropriate to the vendor's Case Management System (CMS).

1. Develop test methodology and test plans.

2. Identify test and acceptance criteria.

3. Vendor will perform data conversion validation, system testing and integration testing (data exchange testing) as described above prior to system acceptance testing.

4. County will validate the final data conversion as described above prior to system integration testing.

5. County will perform system user validation and acceptance testing prior to system acceptance.

6. County and the vendor will perform final exchange testing (Integration testing) prior to system acceptance testing.

F. Go-live Activities – Transition to Operations

In performing the following tasks, the vendor will work closely with District Attorney staff and the various County Information Technology support personnel to ensure a smooth transition of the CMS to business-as-usual operations.

1. Document the "go-live" plan and identify assigned tasks.

2. Ensure all system operation and support documentation is up to date based on the County's case management system configuration.

3. Ensure vendor support and maintenance processes, procedures and personnel are in place and ready to go live.

4. Develop and coordinate with the County Project Manager to communicate notification of go-live status to all project sponsors and stakeholders.

5. Ensure the required vendor and County support personnel are on-site and ready to support go-live activities.

6. Migrate to the new system.

G. Training

The following information is provided to assist vendors in defining their training courses and associated costs. It is assumed that all on-site training will be provided utilizing County meeting and/or training rooms. All training is expected to be delivered before the system goes live.

1. Classroom Information

The County has several conference rooms with a capacity for twenty (20) students, a few conference rooms with a capacity of thirty (30) to forty (40) students, and one conference room with a capacity of 100 or more students. The County maintains two computer-based training classrooms one with eight (8) and one with sixteen (16) networked workstations using the Microsoft operating system and standard office applications. The County has laptops and projectors available for use in any of its conference and classrooms. All conference rooms have high speed internet access. Some conference rooms will be located up to 30 miles from the main County Government centers.

2. Training Sessions

The vendor must provide on-site training for system administrators and general users of the case management system. Web-based or virtual online classes may also be used, if available, to train general users not able to attend classroom training.

Technical system administrators are those individuals who will be responsible for the technical operational support and maintenance of the system. They will perform functions such as backups, routine system software updates, database maintenance and any other functions required to keep the system performing optimally.

Super users are end user personnel who have the responsibility for the overall business operations of the system. They will oversee and control user accounts and permissions. They will also be responsible for maintaining user workflow permissions, associated business rules, template maintenance, system codes and descriptions, etc. The role of the super user may change depending upon the functionality of the proposer's system.

General users are the rest of the user community who use the system in support of their particular business function in the Office of the District Attorney, but have no technical or administrative roles. A certain number of general users must also be trained in the use of reporting tools, including generating ad-hoc reports.

The County and vendor will coordinate delivery of the training classes listed in the table below, such that the timing is agreeable to the County and vendor within the project timeline. All classes will be delivered at a County location.

Class Name	Projected # of Students	Duration of Class [vendor dependent]
CMS Technical System Administrator training	3	
CMS document template and report creation	4	
CMS Super user training	6	
CMS User training (general)	94	
CMS User training (Bad Check)	6	
CMS User training (Discovery)	4	
CMS User training (Document/Word Processing	6	

CMS User training (Investigations)	14	
CMS User training (Victim Witness)	16	
CMS ad hoc report training and database overview	3	

NOTE: The exact user roles, class types, and class durations will depend upon the chosen vendor's system

The vendor is required to provide all pre-requisite materials for the training classes as required.

Vendor responses must include an overview of the following:

- A syllabus of all proposed training including class descriptions, durations, and sample training material including student handouts and guides, etc.
- The source of the training (vendor supplied, 3rd party, etc.).
- Recommended and maximum number of students per class.
- Student prerequisites for each course.
- Type or method of instruction.
- Training schedule, e.g., total hours required for each category of user training.

Note that the intent is to train system administrators and super-users soon after the contract has been awarded to allow them to participate in system configuration, implementation and data conversion testing/acceptance.

Vendors must state how all users will be trained and kept current with system updates, version changes and new applications. In addition, vendors must state how training materials will be updated to reflect changes.

H. Reports

Vendor will provide all custom reports required by the County as outlined in *Appendix – A Requirements* prior to the go-live date.

I. Documentation

The proposer must supply comprehensive, high quality documentation and must provide a complete description of all system components, e.g., software, database, business rules, workflow, forms and template maintenance etc.

The proposer must deliver appropriate documentation for the different types of users, e.g., system technical administrators, super users, and end users. The proposer must provide a complete list of all documentation proposed, who the intended audience is, and what media the documentation is available in, e.g., written guides, on-line help, CD-ROM manuals, help cards, etc.

All documentation provided must be delivered in both written and electronic form. The proposer must deliver at least three (3) full sets of hard copy documentation and one (1) electronic set in Microsoft Office (Word, Excel, etc.) format so that the documentation can be easily edited, updated and reproduced as required by the County.

The County encourages proposers to propose alternate help documentation such as on-line help menus, context-sensitive help, printed reference cards, or other methods of presenting the user with quick, effective help.

Proposers must state how changes to the documentation will be maintained so that users will be kept current with the system as it evolves. Proposers must state how changes to documentation will be released, and in the case of on-line help, who will be responsible for implementing changes.

J. On-going Service and Support

Vendor will provide technical support for both hardware and software to County administrators 24 hours per day, 7 days per week, and 365 days per year with a 3-hour time to recover from system failures.

Technical support will include, where possible, remote access to the case management system for assisting with the diagnosis and repair of the system. Vendor will provide maintenance for system software and documentation to include upgrades for a term of 3 (three) years. Software upgrades will be provided in a downloadable or CD format, to be installed by County staff as needed. Vendor will include the costs for support and maintenance in the cost proposal.

At a minimum, the County requires the successful vendor to perform the following tasks to develop the support and maintenance tools and procedures for the system:

1. Develop system support approach.
2. Define release management and software update processes, roles and responsibilities.
3. Develop vendor Service Desk support model (service levels, incident types and escalation, problem tracking, lessons-learned feedback, hours of operation, contact details).
4. Document bug-fix release model.
5. Define system update and enhancements model.

K. Post Implementation Review

At a minimum, the County requires the proposer to perform the following activities during the project closure stage:

1. Brainstorm and document lessons learned.
2. Explain and document the method for reporting problems or requesting enhancements. If user groups are established, provide the schedule of upcoming user group meetings and agendas.

V.   Instructions for Vendor Response to Requirements

In addition to responding to the items set out in Sections I – IV above, vendors shall respond to the individual requirements documents (see Appendices below) using the following instructions.

Each of the requirements documents accompanying this RFP describes DA-CMS system functionality – they are broken down into broad functional areas for clarity and convenience.

Following each numbered requirement, there is a separate row that vendors shall use to respond. Vendors must provide a response to each and every numbered requirement.

1. Immediately following "**Vendor Response:**" vendors shall enter one of the following codes indicating the degree of compliance their proposed systems will meet. ***Use only one code per numbered requirement.***

Vendor Response Code	Description
F	Fully Provided "Out-of-the-Box" – no configuration or customization required
CO	Configuration with Built-in Toolsets Required (no changes to source code)
CU	Custom Development Required (requiring changes to source code)
R	Provided with Reporting Tool
NV	Provided in the Very Next Version at no additional cost. (If additional costs will be incurred, please state in the Vendor Description.)
FV	Provided in a Future Version at no additional cost. (If additional costs will be incurred please state in the Response Description.)
TP	Third Party Software Required
NA	Not Available

2. Immediately following "**Vendor Description:**" vendors shall provide a narrative describing how the required functionality works within their proposed system.

VI. INDEX OF ATTACHED APPENDICES

The following separate documents are provided as Appendices and form an integral part of this Request for Proposal.

A. District Attorney Case Management System Requirements Documents

1. Appendix A-1 – General System Requirements

2. Appendix A-2 – CMS Core Requirements

3. Appendix A-3 – Bad Check Requirements

4. Appendix A-4 – Discovery Requirements

5. Appendix A-5 – Document Processing Requirements

6. Appendix A-6 Word Processing and Document Management Requirements

7. Appendix A-7 – Investigations Requirements

8. Appendix A-8 – Victim-Witness Requirements Part 1 Criminal Case

9. Appendix A-9 – Victim-Witness Requirements Part 2 V/W Info Tracking

10. Appendix A-10 – System Technical Requirements

11. Appendix A-11 – Interface Inventory list

12. Appendix A-12 – LD-LS Database Definition (see note below)

Note to proposers: *The reference to Appendix A-12 is included here for information only. For reasons of security, the contents of this document will only be provided to the successful vendor following contract negotiations and the completion of a non-disclosure agreement.*

B. Appendix B– DA-CMS Sample Contract

C. Appendix C – DA-CMS Cost Proposal Response Worksheet

D. Appendix D – County of San Luis Obispo Travel Policy and Reimbursement Rates